

National Science Foundation

Financial Interest Disclosure

University of Illinois at Urbana Champaign

Office of Vice Chancellor for Research

Telephone: (217) 333-0034

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Mail Code: M/C 304

First & Last Name _____ College(s) _____

University E-mail _____ Dept(s)/Unit(s) _____

A. Disclosure of Significant Financial Interest (SFI) for Non-University Financial or Fiduciary Relationships & Travel

Check the box if you **DO NOT HAVE ANY SIGNIFICANT FINANCIAL OR FIDUCIARY INTERESTS** at present or in the preceding 12 months. (if checked, skip to Part B – signature page)

Do not disclose:

- salary, royalties or other remuneration from the University of Illinois.
- any ownership interests an organization that is an applicant under the SBIR/STTR program.
- income from seminars, lectures, or teaching engagements sponsored by public or non-profit entities.
- income from service on advisory committees or review panels for public or nonprofit entities.
- an equity interest that, when aggregated for the investigator and the investigator's spouse and dependent children, meets both of the following tests:
 - does not exceed \$10,000 in value as determined through reference to public prices or other reasonable measures of fair market value **and**
 - does not represent more than a 5% ownership interest in any single entity.
- salary, royalties or other payments that, when aggregated for the investigator and the investigator's spouse and dependent children, are not expected to exceed \$10,000 during the prior twelve-month period.

1. Name of Non-University of Illinois entity: _____

2. Describe the financial relationship with the entity at present or in the 12 months preceding the date of this disclosure. (check all that apply and complete required disclosure information for each section)

- Remuneration includes salary and any payment for services** (e.g. consulting fees, honoraria, paid authorship, or other supplemental income). If checked, indicate the level of financial interest (check one below):
 \$0 – \$9,999 (If less than \$10,000, does not need to be disclosed) \$10,000+
- Equity interest includes any stock, stock option, or other ownership interest.** *If checked, complete the section.*
Total percent owned by you & family: ____%
 \$0–\$9,999 (If less than \$10,000, does not need to be disclosed) \$10,000+
 Value cannot be determined by reference to public prices or other reasonable measure of fair market value
- Intellectual property rights and interests** (e.g. patents not assigned to the University of Illinois; licenses from the University of Illinois to the external entity; copyrights; royalties that are not paid by the University of Illinois).
- Other.** Describe: _____

3. Describe how the financial interest is or may be related to Investigator's research or University responsibilities.

- Entity is or may be a research sponsor.
- Entity's product(s) or service(s) is or may be utilized, tested, evaluated, or otherwise in the research.
- Entity does/will license University intellectual property utilized, tested, evaluated or otherwise in the research.
- Entity sponsors/reimburses Investigator for travel related to Investigator's research or University responsibilities.
- Investigator's institutional responsibilities may involve or require interacting with the external entity.
- The activities with the external entity are not related to Investigator's research or University responsibilities.
- Other, describe: _____
If related, list all affected sponsored research projects (titles and proposal or award dates): _____

4. Will the relationship continue into the next 12 months from the date of this disclosure? Yes No

(continue to section B – signature page)

B. Investigator's Affirmation

I affirm that:

- The above information is true to the best of my knowledge.
- I have read the University's Policy on Conflicts of Commitment and Interest and external activities disclosed here have been disclosed and approved on my Report of Non-University Activities (RNAU) form (if I am required to submit the RNAU form.)
- If the disclosed relationship with the external entity is determined by the University to be a Financial Conflict of Interest (FCOI) related to the research question of my sponsored research, then I must have an approved University conflict management plan prior to expenditure of funds related to the research project.

Investigator Signature: _____ Date: _____

Please send form to NSF Disclosure, Office of the Vice Chancellor for Research, MC-304, coi@illinois.edu

C. OVCR Review

- No financial or fiduciary relationships disclosed; or the financial interest does not meet the SFI threshold.
- The relationship disclosed represents a significant financial interest (SFI).
- The SFI disclosed may be reasonably related to the research question for studies specified below.
- The SFI is determined to be a Financial Conflict of Interest that requires additional management.
- The SFI is unmanageable and must be reported to NSF.